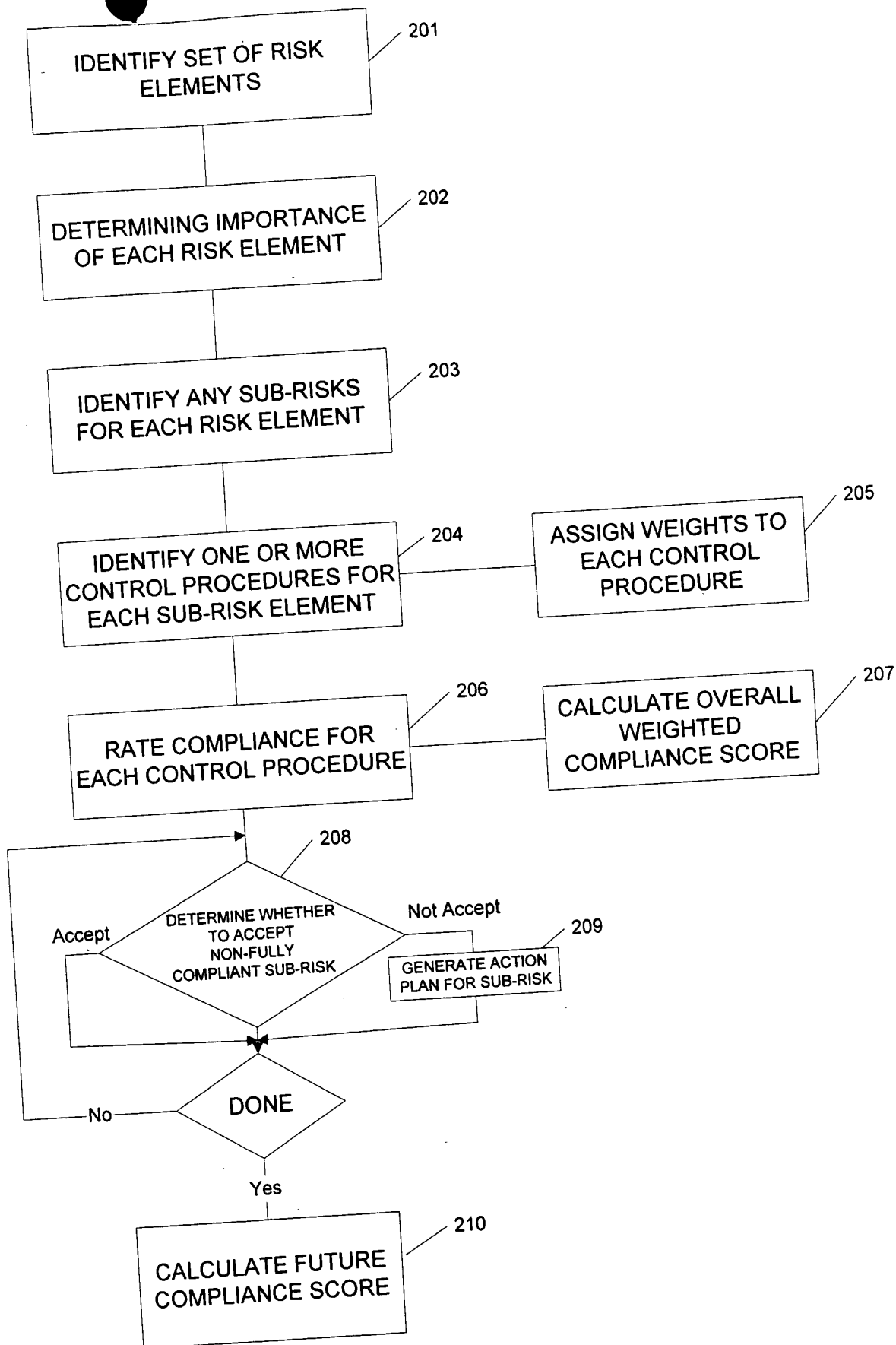


FIGURE 1

Figure 2



Voice/Trader Voice /Hong Kong 30/

Risk Rating: High Med Low

Business Continuity

Financial			
Information			
Legal/Regulatory			
People			
Physical Security			
Technology			

Risk Description:

The risk that the firm is unable to continue operating in a certain location(s) in the event of a disruption to business.

Policies:

1. Business and technology recovery action plans must exist for all businesses, including their associated support functions. Fluid components of the recovery plans (e.g. notification lists) must be updated semi-annually and more static information (e.g. strategies, recovery procedures) must be updated annually.

Save

FIGURE 3

464

FILED

Year	1970	1971	1972	1973	1974	1975	1976	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986	1987	1988	1989	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032	2033	2034	2035	2036	2037	2038	2039	2040	2041	2042	2043	2044	2045	2046	2047	2048	2049	2050	2051	2052	2053	2054	2055	2056	2057	2058	2059	2060	2061	2062	2063	2064	2065	2066	2067	2068	2069	2070	2071	2072	2073	2074	2075	2076	2077	2078	2079	2080	2081	2082	2083	2084	2085	2086	2087	2088	2089	2090	2091	2092	2093	2094	2095	2096	2097	2098	2099	2100
1970	1971	1972	1973	1974	1975	1976	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986	1987	1988	1989	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032	2033	2034	2035	2036	2037	2038	2039	2040	2041	2042	2043	2044	2045	2046	2047	2048	2049	2050	2051	2052	2053	2054	2055	2056	2057	2058	2059	2060	2061	2062	2063	2064	2065	2066	2067	2068	2069	2070	2071	2072	2073	2074	2075	2076	2077	2078	2079	2080	2081	2082	2083	2084	2085	2086	2087	2088	2089	2090	2091	2092	2093	2094	2095	2096	2097	2098	2099	2100	

004010 185450

Assessments	Scope	Risk Assessment	Risk Detail	Action Plan	Submit
Force / Trader Voice / Hong Kong					
Task Name:	Subrisk Name	Gap Name	Control Procedure	Action Plan Status	Rating
Business Continuity	Bus. Resum.	A plan exists but is not as complete	Off-site Recoverability	Action Plan Created	Yellow
Business Continuity	Bus. Resum.	The last test was conducted	System Testing	Action Plan Created	Yellow
Business Continuity	Bus. Resum.	During the last test we had si Test Performance		Action Plan Created	
Business Continuity	Bus. Resum.	During the last test we had si Test Performance		Action Plan Created	

Task Search	<input checked="" type="radio"/> Create Action Plan	<input type="radio"/> Accept Ris	Status:	Open
Description:	Business Continuity Plan		JOEL	KLEIN
Target Date:	12/15/1999			80
Action Plan:	We will revise the current plan to include more detail such as - people			
			Est. Cost:	\$5000 - 505

504

501

506

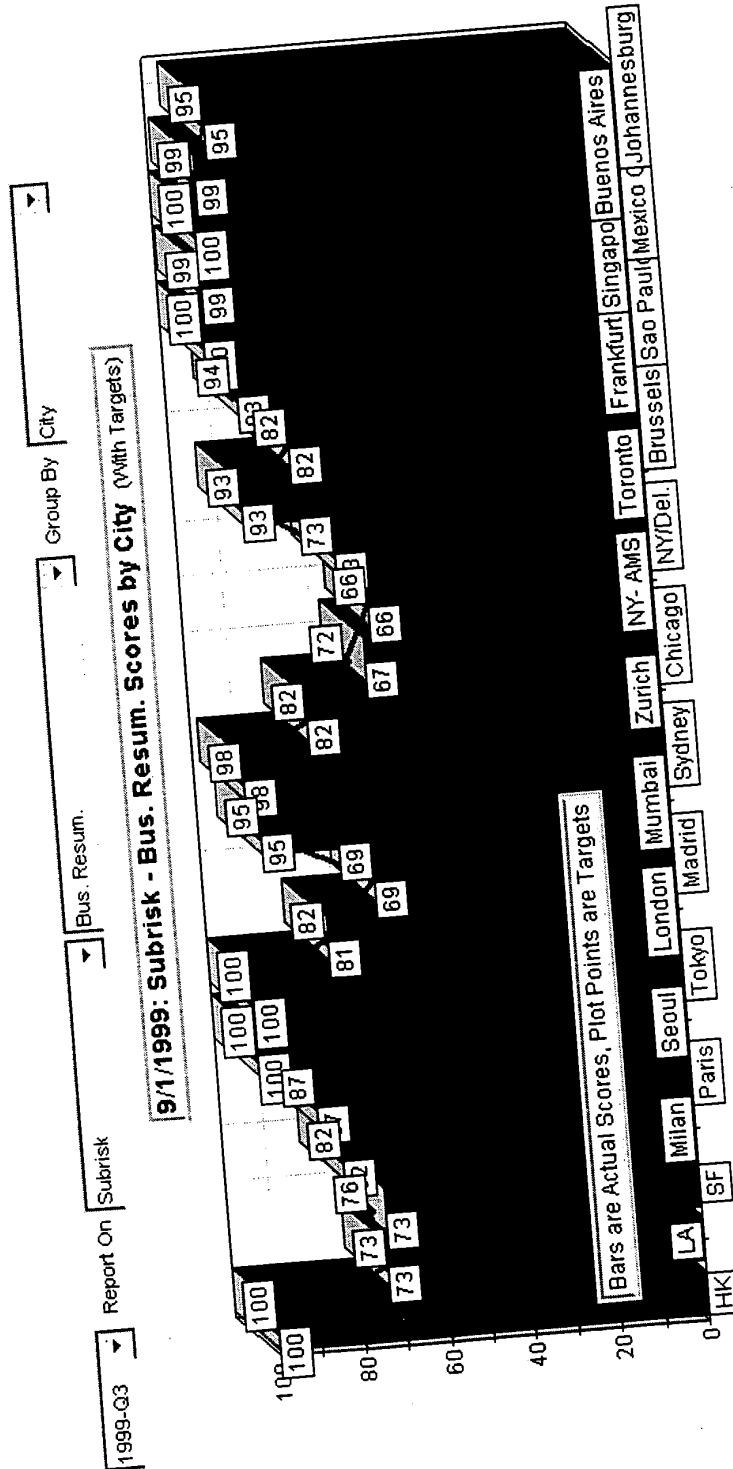
502

503

Save New Delete

FIGURES

FILED 7-26-99



Report On	City	Brussels	Detail For	Subrisk	Bus. Resum.
Forecast Report: City 'Brussels' & Subrisk 'Bus. Resum.'					

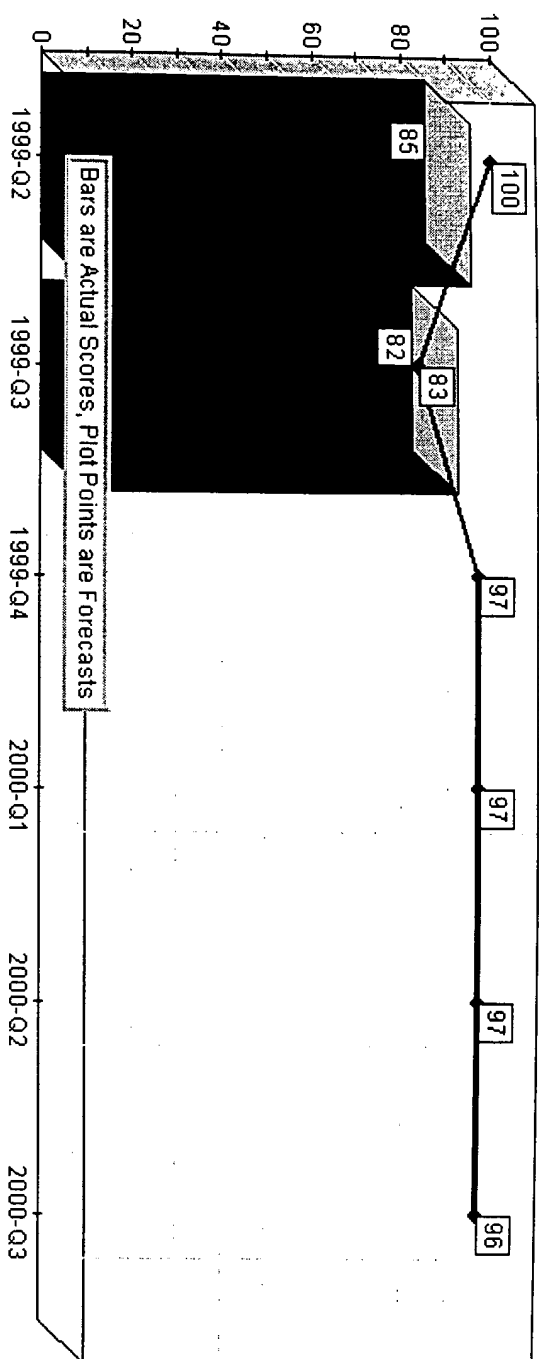
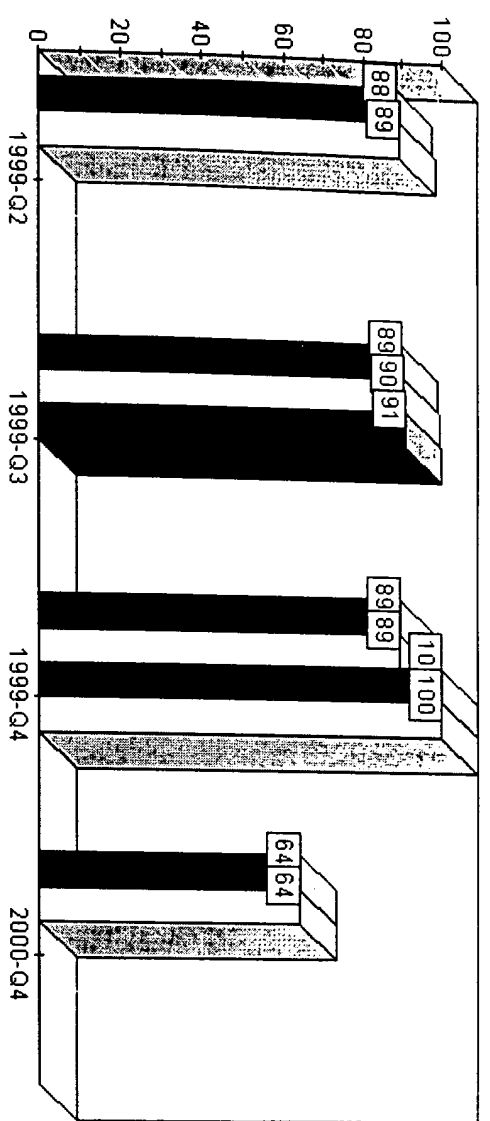
[illegible]

Figure 9

Report On Subrisk Bus. Resum. Detail For Overall

Actuals vs Targets: Subrisk 'Bus. Resum.' (With Projected Target Scores)



- Actuals
- Targets
- 1 Qtr Projection
- 2 Qtr Projection
- 3 Qtr Projection
- 4 Qtr Projection

09/23/99 10:00:00

007-16-10-10

Display Type
☒ Action Plan Count

Status
☒ Work In Progress
☒ Completed
☒ Delayed

Chart
BAR

Process
Applications
Desktop
Mainframe

City
Brussels
Buenos Aires
Chicago

Process - Desktop
City - Chicago

